



United States  
Department of  
Agriculture

Food Safety  
and Inspection  
Service

FSIS Directive  
4430.1  
Revision 5

# Performance Evaluation Plan

# PERFORMANCE EVALUATION PLAN

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**UNITED STATES DEPARTMENT OF AGRICULTURE**  
**FOOD SAFETY AND INSPECTION SERVICE**  
WASHINGTON, DC

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**PERFORMANCE EVALUATION PLAN**

**PART ONE—BASIC PROVISIONS**

**I. PURPOSE**

This directive:

- A. Defines FSIS performance appraisal policy for all employees except SES members. The USDA SES Performance Management Plan covers SES members.
- B. Establishes a results-oriented performance culture which aligns performance expectations with the Agency's mission, performance goals, and objectives.
- C. Establishes procedures for measurable results-oriented and competency-linked performance standards.
- D. Communicates and clarifies FSIS goals and objectives while identifying individual accountability for accomplishing organizational goals and objectives.
- E. Holds supervisors and managers accountable for managing performance.

**II. CANCELLATION**

This directive cancels FSIS Directive 4430.1, dated 6/13/05 and Amendments 1 through 4 for all employees.

**III. REASON FOR REISSUANCE**

- A. Expands generic performance elements and standards by describing an EXCEEDS level for each element.
- B. Clarifies requirements for supervisory training and execution of performance management responsibilities.

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**DISTRIBUTION:**

All Offices

**OPI:**

HRD – Performance, Evaluation, and  
Recognition Branch

#### **IV. REFERENCES**

FSIS Directive 1020.1, Delegation of Personnel Authority  
FSIS Directive 4335.1, Merit Promotion Plan  
FSIS Directive 4351.1, Reduction-In-Force  
FSIS Directive 4451.1, Incentive Awards Program  
FSIS Directive 4531.1, Within Grade Increases  
FSIS Directive 4735.3, Employee Responsibilities and Conduct  
FSIS Directive 4771.1, Administrative Grievance System

FSIS Strategic Plan  
5 CFR 213, Accepted Service  
5 CFR 430, Performance Management  
5 U.S.C. Chapter 23, Merit System Principles  
5 U.S.C. Chapter 45, Incentive Awards

#### **V. ABBREVIATIONS AND FORMS**

The following appear in their shortened form in this directive.

CFR	Code of Federal Regulations
EO/CR	Equal Opportunity and Civil Rights
EPF	Employee Performance Folder
HRD	Human Resources Division
IPA	Intergovernmental Personnel Assignment
LERD	Labor and Employee Relations Division
LMA	Labor Management Agreement
LWOP	Leave Without Pay
NFC	National Finance Center
NTE	Not to Exceed
OPM	Office of Personnel Management
PERB	Performance, Evaluation, and Recognition Branch, Human Resources Division
PIP	Performance Improvement Plan
RIF	Reduction-In-Force
SES	Senior Executive Service
SHRO	Servicing Human Resources Office
USC	United States Code
WGI	Within-Grade Increase
FSIS Form 4430-1	Performance Appraisal (Multiple Ratings)
FSIS Form 4430-10	Performance Rating
FSIS Form 4430-10a	Performance Elements and Standards

## VI. **POLICY**

It is FSIS policy to:

A. Encourage excellence in performance of duties by establishing objective, job-related, competency-linked, and results-oriented performance appraisal system linking to the Agency Strategic Plan.

B. Encourage employee participation and establishes fair results-oriented standards of performance and measurable results.

C. Use performance ratings as a basis to reward employees and other personnel actions.

D. Provide means to reduce or withhold certain pay increases for less than fully successful performance rated "Unacceptable."

## VII. **AUTHORITY**

The provisions of this directive meet U.S. Department of Agriculture requirements of Chapter 45, Title 5, U.S. Code; and 5 CFR Part 430.

## VIII. **COVERAGE AND APPLICABILITY**

This Plan applies to all FSIS employees **except** employees in the:

A. SES.

B. Excepted service NTE 120 days of employment in a consecutive 12-month period.

C. Excepted appointments on intermittent work schedules appointed in Schedule A of 5 CFR 213.3102.

## IX. **SUPPLEMENTING THIS ISSUANCE**

The Chief, PERB approves all exceptions and written issuances that concern the Plan's procedures, policies, or interpretations.

## X. **USES OF PERFORMANCE APPRAISALS**

Performance on the job is continuously evaluated. This ongoing evaluation process:

A. Communicates and clarifies the Agency's mission and goals

B. Identifies individual accountability for accomplishment of the Agency's mission and goals.

C. Strengthens supervisor-employee relationship through communication when establishing the performance plan, progress review, and final evaluation.

D. Helps supervisor and employee analyze how to improve individual and organization effectiveness. Includes developing core and technical competencies the employee needs for duties.

## XI. **HOW PERFORMANCE APPRAISAL DECISIONS AFFECT OTHER PERSONNEL DECISIONS**

A. **Within-Grade Increases.** To grant or withhold a WGI is based upon employee's performance rating within an appropriate waiting period. An eligible employee must have a "*Fully Successful*" or better to be eligible for a WGI. When the employee's recent waiting period is not consistent with the WGI decision, a current rating of record should be prepared (See FSIS Directive 4531.1).

B. **Promotions and Other Competitive Selections.** Performance ratings are considered in evaluating employees for promotion, reassignment to positions with greater promotion potential, or for training under competitive procedures. Employees cannot receive a career promotion unless their current rating of record is "*Fully Successful*" or higher. (See FSIS Directive 4335.1.)

C. **Awards.** Performance will be considered to recommend employees for performance awards and distinguish between levels of performance. (See FSIS Directive 4451.1.)

D. **Quality Step Increases.** Increases may be granted to employees who receive "Outstanding" performance ratings.

E. **Training and Development.** The performance appraisal process provides information useful to determine the employee's training and development needs.

F. **Reduction-In-Force.** At the time of a RIF, an employee:

1. Is entitled to receive additional service credit based on the employee's three most recent ratings of record received during the 4-year period before date of issuance of the RIF Notice. For each:

a. **Outstanding (Level 5) rating**, use 20 years to calculate the mathematical average.

b. **Superior (Level 4) rating**, use 16 years to calculate the mathematical average.

c. **Fully successful (Level 3) rating**, use 12 years to calculate the mathematical average. **Example:** An employee received annual performance ratings of record for the last 3 years of superior (16), superior (16), and fully successful (12). The employee would receive 15 years of additional service credit. **Example:**  $16 + 16 + 12 = 44$  divided by 3 = 14.6, rounds up to 15 to determine retention standard.

2. Received the last three annual performance ratings within the 4-year period immediately preceding the date of the RIF notice.

3. Did not receive a rating during the 4-year period will receive credit for performance based on modal rating.

**G. Reassignment, Demotion, or Removal for Unacceptable Performance.**

1. The supervisor shall help employees improve a less than fully successful performance. Assistance may include, but is not limited to formal training, on-the-job training, counseling, and closer supervision. If an employee's performance is unacceptable in one or more critical elements at any time during the performance appraisal cycle, the supervisor:

a. Informs the employee in writing of the standard(s) or requirement(s) to meet for a fully successful performance.

b. Provides an opportunity period to demonstrate a fully successful performance.

2. Management may reduce grade, remove, or reassign employees who continue to have an unacceptable performance.

**XII. INFORMING EMPLOYEES AND SUPERVISORS**

A. **All Employees.** Each covered employee and the employee's supervisor will receive a copy of this Directive.

B. **Supervisors.** Supervisors are ultimately responsible for:

1. Using this Directive and FSIS Forms 4430-10 and 4430-10a to establish performance elements and standards, and designate elements as critical or noncritical.

2. Orienting the employee on all aspects of this Directive.

3. Establishing and discussing written performance elements and standards within 30 days of the employee's entrance on duty.



4. Providing the employee with a copy of the performance elements and standards.

5. Using this Directive along with the LMA to deal with performance of bargaining unit employees. The LMA supplements this Directive for bargaining unit employees. The LMA takes precedence when conflicts arise between the Directive and the LMA.

### XIII. **PERFORMANCE MANAGEMENT STAGES**

Effective performance management requires supervisory and employee involvement at each stage of the performance management process. The stages of performance management are:

A. **Setting Performance Standards and Communicating Expectations.** Performance elements are established and discussed as explained in Part Two, Section One, Establishing Elements and Standards.

B. **Monitoring Performance and Providing Continuous Feedback.** Supervisors offer continuous feedback, conduct progress reviews, provide or arrange for training, and document the process. This stage is explained in Part Two, Section Two, Paragraph V., Progress Reviews.

C. **Developing the Capacity to Perform.** Employee developmental needs are evaluated and addressed through training, giving assignments that introduce new skills or higher levels of responsibility, improving work processes, or other methods.

D. **Appraising Performance.** Usually occurs at the end of the performance rating period but can occur at other times. Involves a written performance appraisal as explained in Part Two, Section Two, Paragraph VI., Annual Rating of Performance.

E. **Taking Action to Recognize, Reward, or Correct Performance.** Supervisory action to formally or informally recognize employee accomplishments. If performance is below standard, initiates one of several corrective actions. This is explained in Part I, Paragraph XI, How Performance Appraisal Decisions Affect Other Personnel Decisions.

### XIV. **TRAINING REQUIREMENTS**

It is Agency policy to make performance management training materials available and accessible to all employees.

A. **Supervisory Training.** New supervisors are expected to complete initial training on FSIS performance appraisal system, (see Subparagraph XIV. B. 1.) before establishing performance plans, providing progress reviews, or completing performance appraisals. New supervisors are expected to complete formal training (see Subparagraph XIV. B. 2.) before their supervisory probationary period ends (**example:** within one year), or as soon as possible. **All** supervisors will receive additional training and guidance when changes to the performance management system occur.

**B. Components of Supervisory Performance Management Training.**

1. New supervisors receive the Performance Management Guidebook for Supervisors when they enter their position. The guidebook outlines the supervisor's role and responsibilities pertaining to performance management. The new supervisor is expected to review the information and complete a self-certification of completion before setting performance standards for their direct reports. The next-level supervisor maintains the self-certifications.

2. All new supervisors receive formal training on the performance management system. It is intended that new supervisors take and successfully complete training within their supervisory probationary period or as soon as possible. Training may be delivered via classroom instruction, distance learning, computer based instruction, or other combinations. HRD is responsible for the curriculum. Training is delivered in partnership with the Center for Learning.

3. Reviewing officials provide new supervisors with close guidance and oversight and use the Performance Management Guidebook for Supervisors between receiving initial and formal training. This activity ensures new supervisors have adequate understanding of the performance management system. It is also integral in training new supervisors for effectiveness in leading employees.

**C. Relation to Supervisory Performance Element.** The performance management process is a fundamental supervisory responsibility. To master this process, supervisors need the necessary tools and leadership skills to effectively coach, guide and mentor employees. Performance management is so important, the Agency includes this process as a significant component of the Supervision performance element. All employees new to supervisory responsibilities in FSIS are expected to complete performance management training (see Subparagraph XIV. B. 1 and B. 2) within the prescribed timeframes or sooner. Supervision is a mandatory critical element for employees who are officially classified as supervisors and who rate employees. There can be exceptions to this rule (**example**: employees classified as supervisors but do not rate employees). Contact PERB for questions on exceptions.

## DEFINITIONS

**Advisory Rating.** An informal, unofficial rating of an employee's performance while on assignment to another supervisor or program area less than 90 days. Any information used in assigning ratings will be in writing from other immediate supervisor(s).

**Appraisal Unit.** The unit of measure used to establish the relative weighted value of critical and noncritical elements.

**Appraisal Period.** The established period of time for review of an employee's performance, normally 12 months, when a final rating of record is prepared.

**Competency.** A competency is a measurable or observable pattern of knowledge, skills, abilities, behaviors, and other characteristics an individual needs to perform work roles or occupational functions successfully.

**Critical Element.** A performance element, designated by the supervisor, of such importance to the position, that performance below the fully successful level requires remedial action and may be basis for removing or demoting the employee. An element rating of DOES NOT MEET fully successful on any critical element will result in a rating of Unacceptable.

**Decision Table.** A matrix used for deriving a summary rating level from the appraisal of individual performance elements.

**Element Rating.** The level of performance on an individual element which is determined by comparing accomplishments to the performance standard. Element rating levels are: EXCEEDS fully successful, MEETS fully successful, or DOES NOT MEET fully successful. (The MEETS successful level is equivalent to the Department element rating level of Fully Successful.)

**Interim Rating.** A formal written record of an employee's performance required by a change in circumstances before the end of the appraisal period with a summary rating level assigned. Interim ratings must cover a minimum time period of 90 days. Interim ratings are combined to form a rating of record. (See Part Two, Paragraph VIII.)

**Measures.** Quantitative or qualitative assessments of an employee's work results which appropriately address outputs or outcomes (products or services) for which the employee is responsible. Activities by themselves are not adequate measures.

**Modal Rating.** A summary rating level assigned most frequently among the actual ratings of record that are:

A. Assigned under the summary level pattern that applies to the employee's position of record on the date of the RIF.

B. Given within the same competitive area, or at the Agency's option within a larger subdivision of the Agency or Agencywide; and

C. On record for the most recently completed appraisal period prior to the date of issuance of RIF notices or the cutoff date the Agency specifies prior to the issuance of RIF notices after which no new ratings will be put on record.

**Noncritical Element.** A component of an employee's position which does not meet the definition of a critical element but is of sufficient importance to warrant written appraisal and assignment of an element rating.

**Performance.** Accomplishment of assigned duties and responsibilities by an employee based on a comparison of an employee's work results with standards established for the employee's position.

**Performance Element.** The duties and responsibilities for which an employee is held accountable and responsible, and for which a rating is given.

**Performance Plan.** All of the written results-oriented performance elements, standards, goals and objectives that document expected performance.

**Performance Improvement Plan.** A formal document that initiates a performance improvement period. The Plan identifies:

- A. The critical element the employee is failing.
- B. What the employee must do to bring performance to the fully successful level.
- C. The timeframe provided to improve performance.
- D. The assistance that is offered.
- E. The consequences of failure to bring performance to the fully successful level.

**Performance Standard.** The management-approved expression of the performance thresholds, requirements, results, or expectations that must be met to get appraised at a particular level of performance.

- A. A performance standard may include, but is not limited to, factors such as:
  - 1. Quality.
  - 2. Quantity.
  - 3. Cost-efficiency.
  - 4. Timeliness.

5. Manner of performance.

B. Performance standards are applied to an employee's work results in the context of:

1. Organizational goals.
2. Objectives.
3. Annual plans.
4. Standard operating procedures (SOPs).
5. Customer service standards.
6. Professional standards.
7. Management controls.
8. Other similar references.

**Progress Review.** Communication between supervisor and employees about performance compared to performance standards, elements, goals, and underlying core and technical competencies.

**Rating of Record.** The final official rating of employee performance for a given rating year. It is used as the basis for various other personnel actions (**example:** performance awards, WGs, the calculation of service credit during a reduction in force, etc.).

**Rating Supervisor.** An official who oversees one or more employees and who has the responsibility to:

1. Set performance standards.
2. Communicate performance expectations.
3. Monitor performance and provide feedback.
4. Appraise performance.
5. Take action to recognize, reward, or correct performance. (**Note:** The position descriptions of some rating supervisors are not titled "supervisory" because they do not meet OPM titling criteria. These positions do not require a supervisory probationary period.)

**Results.** Measurable employee accomplishments linked to organizational and job-specific missions, goals, products, and services, that take the form of an output or outcome. Activities, competencies, and behaviors are not in themselves results but can lead to desired results.

**Reviewing Official.** A higher level official who concurs with the rating official's determination of an employee's performance before the rating is issued to the employee. Assistant Administrators may require a designated reviewing official to review performance plans before plans are put into place, and to review all ratings of record before they are issued.

**Summary Rating.** The written record of performance and appraisal of each critical and noncritical element and assignment of a summary rating level.

**Summary Rating Level.** Five summary levels of achievement.

A. **Unacceptable (Level 1).** Performance which does not meet established fully successful performance standards in one or more critical elements of the employee's position. When performance is unacceptable, corrective action must be taken consistent with required procedures.

B. **Marginal (Level 2).** Performance which needs improvement to achieve the fully successful level. This may be evidenced by the need for close supervisory review, discussion, and correction of work products.

C. **Fully Successful (Level 3).** Performance which is of good quality. A fully successful employee produces the expected quantity of work and meets deadlines or schedules for completion of work.

D. **Superior (Level 4).** Performance of unusually good or excellent quality. A superior employee produces a very high quantity of work ahead of established deadlines or schedules and with less than normal supervision.

E. **Outstanding (Level 5).** Performance of rare, very high quality. An outstanding employee produces an exceptional quantity of work significantly ahead of established deadlines or schedules and very little supervision. Performance for each element consistently exceeds the fully successful level in the demonstration of core and technical competencies, and achievement of tangible results supporting the organization's mission and program goals.

## **PART TWO—PERFORMANCE APPRAISAL PROCESS**

### **Section One—Establishing Elements and Standards**

#### **I. PERFORMANCE PLANS**

A. A performance work plan aligns individual performance with organizational goals. The performance plan places focus on results as well as job behaviors (**example:** competency indicators) that show the possession of competencies known to lead to desired results. It is important to note that reviewing results and assessing competencies differs from merely cataloging activity. A correctly implemented performance plan will reflect the mutual understanding between supervisor and employee of:

1. The desired results to be achieved that support the mission, goals, and objectives of the Agency and program.

2. The specified methods, tools, and approaches that are known to lead to effectiveness and efficiency in a given occupation or role.

B. Each covered employee receives a written performance plan at the beginning of the appraisal. The appraisal period is documented and recorded on FSIS Forms 4430-10 and 4430-10a. The performance plan includes the dates of the appraisal period and the written performance elements and standards. Supervisors tailor performance standards to demonstrate linkage to the Agency's mission and strategic plan.

#### **II. APPRAISAL PERIOD TIMEFRAMES**

##### **A. Length of Appraisal Period.**

1. The appraisal period is normally 12 months. The minimum amount of time in which a supervisor makes an objective appraisal is 90 days.

2. A formal appraisal is not given unless performance elements and standards were established and communicated to the employee, and the employee served under these elements and standards for 90 days or more.

B. **Time of Appraisal.** The annual appraisal period for employees covered by this Directive is July 1 through June 30.

### III. PERFORMANCE ELEMENTS AND STANDARDS

A. Supervisors should seek employee participation in establishing performance elements and standards. However, management officials retain final authority when there is a disagreement, since management is accountable for the assignment of work. Each Assistant Administrator may establish program-specific performance elements and standards for groups of like positions. Each Assistant Administrator must obtain PERB approval before implementing and modifying program specific elements and standards. This ensures consistency with FSIS policy and maintains the integrity of the standards. (See Part One, Paragraph IX.)

B. The supervisor and employee shall, within 30 days after the beginning of the appraisal period or after an employee's assignment to a new position or the assignment of a new supervisor:

1. Review the position description to ensure all the employee's important duties and responsibilities are consistent with the Agency's mission and goals. If necessary, the supervisor may submit a revised or amended position description to the SHRO.

2. Identify and discuss performance elements. Position descriptions, program plans, affirmative action plans, project proposals, competency guides, professional standards, Agency strategic plan, and any other resource that assigns or fixes responsibility are useful in this process.

a. Generic performance elements and standards are established and may be used to develop performance plans. Select at least three, but no more than seven performance elements for appraisal. Of the seven, supervisors have the option of using any combination of generic or program specific elements. Supervisors **must** add specific goals and results for the particular rating cycle for the mandatory Mission Support performance element (see Attachment 2-2). Goals should be results-oriented, emphasizing outcomes rather than activities.

b. Develop program or position specific elements and standards and add to the generic performance element using position descriptions, Agency strategic plans, affirmative action plans, project proposals, and any other source (**example:** user guides) that assigns or fixes responsibility in this process.

(1) **Mission Support.** Include a mandatory mission support critical element for all positions. Tailor this particular element to demonstrate linkage to the Agency's strategic mission and goals.



(2) **Supervisory Responsibilities.** Include a mandatory critical supervision element for employees officially designated as rating supervisors or reviewing officials, and who actually provide ratings to employees. Assure that this element fully describes delegated performance management responsibility. **Exception:** Those employees who have supervisory performance management responsibilities but are not titled “supervisor” for classification purposes must have performance management responsibilities incorporated into another element (**example:** Personal Contacts or Program Management). The element will then be made critical.

(3) **Civil Rights Responsibilities.** Include a mandatory critical civil rights element for employees who are rating supervisors or reviewing officials.

(4) **Personal Contacts (Civil Rights).** Include the mandatory critical personal contacts element for employees who do not rate officials or reviewing officials. This element contains civil rights expectations.

(5) **Safety and Health Responsibilities.** Include the element for safety and health where warranted by the work environment.

3. **Identify Critical Elements.** In addition to the mandatory critical elements (see Subparagraph III. A. and B.), management officials may identify more critical elements. Critical elements receive a weight of “2” appraisal units and noncritical elements receive a weight of “1” appraisal unit. (**Note:** Not all elements are critical.) A critical element meets the following criteria:

- a. It is regular and recurring.
- b. It is a primary purpose of the position.
- c. If the employee does not perform at the acceptable level, they should be provided remedial training, reassigned, demoted, or removed.

C. The supervisor discusses the appraisal process with the employee, that covers the following points:

1. Elements will be rated at one of three levels: “Exceeds”, “Meets”, or “Does Not Meet” fully successful.

2. After elements are rated, use the Decision Table (Attachment 2-2) to determine the summary rating level. (**Note:** A critical element has twice as much weight as a noncritical element.) This weighting system is built into the Decision Table. Summary rating levels are assigned at one of five levels: *Outstanding, Superior, Fully Successful, Marginal, or Unacceptable.*

3. A critical element rated as “Does Not Meet” *Fully Successful* will result in a summary rating level of “Unacceptable”.

#### IV. **DOCUMENTATION OF ELEMENTS AND STANDARDS**

Record establishment of performance plans, progress reviews, discussions, and performance ratings on FSIS Form 4430-10.

A. **The rating supervisor** completes FSIS Form 4430-10 and Form 4430-10a and discusses with the employee. Both should sign and date Form 4430-10. The employee's signature indicates receipt and understanding of the elements and standards, not necessarily satisfaction or approval. The date of the employee's signature marks the beginning of the appraisal period for the standards. (**Note:** Where there is disagreement on the contents of performance elements and standards, the rating supervisor's decision prevails.) If the employee refuses to sign the FSIS Form 4430-10 at the beginning of the appraisal period, the rating supervisor should note this in the employee's signature block. Lack of the employee's signature and date on the FSIS Form 4430-10 does not prevent the implementation of the performance plan as long as the supervisor and employee have discussed the elements and standards.

B. **The reviewing official:**

1. Reviews significant changes or new elements and standards for completeness, fairness, consistency among different rating supervisors, adherence to organizational goals, and conformance with the policies and procedures of this Plan.
2. Makes necessary changes, signs and returns the form to the rating supervisor.

C. **The rating supervisor** discusses changes made and provides a copy of both forms (FSIS Forms 4430-10 and 10a) to the employee.

### **Section Two—Conducting Reviews**

#### V. **PROGRESS REVIEWS**

A. **Purpose.** A progress review:

1. Assures at least one discussion between the rating supervisor and the employee regarding the employee's progress toward achieving the performance standards. The review does not involve the issuance of a rating of record.
2. May generate amendments to performance elements, performance standards, or critical elements. Revise performance elements and standards when a work assignment changes significantly, regardless of whether an official personnel action was effected.

3. Special emphasis should be given to the assessment of competencies at this point in time. If certain competencies are assessed as low or missing, appropriate interventions can be planned and executed. This will increase the likelihood that the employee will achieve desired results by the end of the rating period.

B. **Timing.** At least one progress review is mandatory. This progress review should take place approximately midway through the appraisal period. However, continuous feedback is essential throughout the performance cycle.

C. **Documentation.**

1. The employee and supervisor should initial and date Block 15 of FSIS Form 4430-10 to document completion of the progress review(s).

2. The supervisor documents, in writing, any changes to the performance standards and records the changes on FSIS Form 4430-10a. The supervisor obtains reviewing official's approval for significant changes impacting the original intent of the standard or the establishment of new performance elements.

## VI. **ANNUAL RATING OF PERFORMANCE**

The rating supervisor must complete the annual performance rating within 30 days after July 1<sup>st</sup>.

A. **Assignment of Rating.** The rating supervisor reviews the employee's accomplishments during the appraisal period.

1. **Element Rating.** The rating supervisor:

a. Compares the employee's performance results with the established standards and rates each performance element at EXCEEDS, MEETS, or DOES NOT MEET fully successful.

(1) **Exceeds Fully Successful.** Performance exceeds performance standards established for the meets level as described within the performance plan.

(2) **Meets Fully Successful.** Performance meets performance standards established for the fully successful level. Performance standards, at a minimum, are always defined at the meets level.

(3) **Does Not Meet Fully Successful.** Performance falls below performance standards established at the fully successful level.

b. Prepares documentation to support a rating of EXCEEDS or DOES NOT MEET fully successful on FSIS Form 4430-10a or on a blank sheet of paper. Documentation is a written statement describing how the employee exceeded or did not meet the standard described at the fully successful level. Merely stating the employee exceeded the fully successful standard, or restating the defined Exceeds level provided for the element, **is not** sufficient. Exceeds documentation must be descriptive to provide specific details and information about the employee's accomplishments and clearly describes the impact the accomplishments have in achieving the Agency's public health mission or organizational goals.

**B. Summary Level Rating.** The rating supervisor:

1. Determines summary level rating using Decision Table in Attachment 2-1 after all elements are rated. The Decision Table contains 5 summary rating levels.

2. Records the summary level rating on FSIS Form 4430-10, signs and dates the appropriate block. Records supporting documentation (if required), on FSIS 4430-10a or on a blank sheet of paper (see Attachments 2-2, 2-3, and 2-4). Signs and dates the forms. (**Note:** The rating may not be discussed with the employee until after concurrence by the reviewing official.)

**C. Review.** After completing the rating, the supervisor forwards the FSIS Form 4430-10 along with FSIS Form 4430-10a to the reviewing official who:

1. Reviews the rating for:

a. Consistency among appraising supervisors.

b. Fair consideration of documented conditions beyond the employee's control (**example:** the inability of the rated employee to complete a project due to budget constraints which required the termination of a project or activity).

c. Accurate application of the established performance standards.

d. Completeness of forms and adherence to the policies and procedures of the plan.

2. Requests from the supervisor any justification of ratings or supplemental documentation of accomplishments deemed necessary.

3. Identifies, makes, and explains any necessary changes.

4. Signs the forms and returns them to the rating supervisor.

**D. Discussion.** When the rating is returned to the supervisor, they will:

1. Meet with the employee and conduct a performance evaluation discussion. The discussion should include:

- a. An analysis of office, program, or organizational results.
- b. How the employee contributed to the achievement of office, program, or organizational results.

2. Obtain the employee's signature certifying that:

- a. The supervisor has discussed the performance rating with the employee.
- b. Any questions regarding USDA and FSIS directives on employee responsibilities and conduct have been answered.
- c. Employee's training needs have been discussed.
- d. Employee's position description is an accurate reflection of assigned duties and responsibilities.

E. **Distribution of Forms.** Distribute forms as follows:

1. **SHRO.** Receives one copy of FSIS Form 4430-10 and 4430-10a for processing into the NFC database and filing in the employee's EPF, along with supporting documentation. Send forms to the Minneapolis HR office for field employees and to PERB for headquarters employees. **Exception:** Copies of FSIS Form 4430-10 are not required to be submitted at the end of the appraisal cycle for OFO positions that have pre-approved standards posted in Outlook's Public Folders.

2. **Rating Supervisor.** Retains one copy of FSIS Form 4430-10 and 4430-10a, and any supporting documentation.

3. **Employee.** Receives the original copy of FSIS Form 4430-10, and FSIS 4430-10a and any supporting documentation.

## VII. **UNACCEPTABLE PERFORMANCE**

A. Supervisors should inform an employee in writing if performance on a critical element falls below the fully successful level **as soon as** that fact becomes apparent. The supervisor should place the employee under a PIP. The PIP provides the employee a reasonable opportunity to improve performance to the fully successful level before the employee receives a rating of record of "Unacceptable." The supervisor must:

1. Identify the performance elements and standards which were not accomplished at the fully successful level and provide reasonable means to assist employees in improving performance to the fully successful level. Such assistance may include training, closer supervision, revision of assignments, or coaching.

2. Describe specific incidents that illustrate the failure to meet the standards.

3. Describe what the employee must do to bring performance in the critical element(s) to the fully successful level.

B. Employees must receive a reasonable time (usually no less than 30 days) to demonstrate performance at the fully successful level. Contact LERD for advice and assistance in implementing a PIP.

### **Section Three—Special Circumstances and Grievances**

#### **VIII. INTERIM RATINGS**

##### **A. General.** The supervisor:

1. Gives interim ratings when the appraisal period is at least 90 days and one of the following conditions applies:

a. The supervisor of the employee relinquishes their duties as the immediate supervisor.

b. The employee leaves for a position other than a permanent promotion with different duties.

c. The employee is detailed or temporarily promoted to a position for 90 days or more.

2. Initiates an interim rating on FSIS Form 4430-10 and annotates “Interim Rating” on the top of the form.

3. Discusses and provides a copy of the interim rating to employee.

4. Forwards the interim ratings to the new supervisor for combining with any additional ratings at the end of the appraisal period.

##### **B. Details or Temporary Promotions for 90 Days or More.**

1. Establish performance elements and standards for employees who are detailed or temporarily promoted for 90 days or more to other positions in the Agency or the Department.

2. The supervisor responsible for the detail or temporary promotion shall prepare elements and standards and communicate them to the employee, in writing, within 30 days of the beginning of the detail or temporary promotion.

3. Prepare an interim rating to document the employee's accomplishment at the end of the detail or temporary promotion. Combine the interim rating with other ratings to determine the employee's rating of record.

C. **Combining Interim Ratings.** Combine interim ratings on FSIS Form 4430-1 to form the annual rating of record using a system weighted by time spent in each position. (See Attachment 2-4.)

#### IX. **OTHER SPECIAL CIRCUMSTANCES**

A. **Transfer of Rating.** If an employee moves to another Federal agency, department, or a different organization in FSIS at any time during the appraisal period, the employee's former supervisor must prepare a rating of record. The gaining agency or organization must consider this rating when determining the next rating of record.

B. **Employee Who Cannot Be Rated.** Sometimes a rating of record cannot be prepared at the time specified in this Directive. In this case, extend the appraisal period for the time necessary to meet the 90-day minimum appraisal period. Prepare a rating of record after this period of time.

C. **Employee Permanently Promoted during the Appraisal Cycle.** If an employee receives a permanent promotion to another position with different duties and responsibilities (other than a career ladder promotion) during the rating cycle, performance elements and standards will be set and rated based on the duties of the higher graded position for that rating cycle. **However**, if the period of time between the date of the previous rating of record and the end of the current appraisal period becomes more than 15 months, the rating of record will be based on the performance in the position before the promotion. **Example:** If an employee's rating for 2005 was prepared on June 30, 2005 and the employee was promoted in May 2006, the final rating of record for 2006 would be in the lower graded position since more than 15 months would elapse if the employee was not rated until June 2007 (the end of the appraisal period in the higher graded position).

D. **Temporary Promotions or Details of Less than 90 Days.** Employees who are detailed or temporarily promoted for **less** than 90 days during the appraisal period cannot receive an interim rating for that period. However, the supervisor during the period the employee was detailed or temporarily promoted can give a written advisory rating to the rating supervisor of record. The supervisor at the end of the appraisal period **may** consider an advisory rating before assigning element ratings.

E. **Collateral Duties.** Collateral duties (such as Equal Employment Opportunity counselor responsibilities) may comprise a separate element. The official supervising the conduct of collateral duties is responsible for developing standards and assigning a rating for the element. The employee's day-to-day supervisor decides whether these duties have constituted a significant portion (generally equivalent to 1 month's work) of the employee's time and should be included as part of the summary rating. Collateral duties may not be designated as critical elements.

F. **Appraising Disabled Veterans.** The performance appraisal and resulting rating of a disabled veteran may not be lowered because the veteran was absent from work to seek medical treatment.

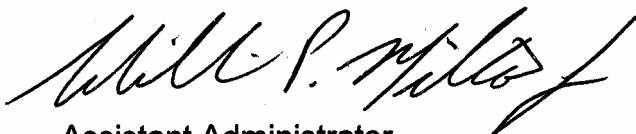
X. **AGENCY PROGRAM EVALUATION**

PERB will ensure that the FSIS Performance Management Program is evaluated for effectiveness and for compliance with 5 CFR 430 and other FSIS, Departmental, and OPM policies, and the provisions of 5 U.S.C. Chapter 23 that set forth the merit system principles and prohibited personnel practices.

XI. **GRIEVANCE PROCEDURES**

A. Employees may initiate an informal discussion about a performance rating with their supervisor or reviewing official. Informal resolutions are encouraged at any stage.

B. Grievances of performance appraisals may be processed under the Administrative Grievance System, see FSIS Directive 4771.1, or applicable negotiated grievance procedures.



Assistant Administrator  
Office of Management



## INSTRUCTIONS FOR COMPLETION OF FSIS FORM 4430-10

### I. BEGINNING OF APPRAISAL CYCLE

#### Preparation:

1. **Blocks 1 through 10** are self-explanatory and are either preprinted or completed by the rating supervisor.
2. **Block 11** the rating supervisor:
  - a. Checks appropriate generic performance element. The elements and standards are defined on the reverse side of the printed version of FSIS Form 4430-10 (or on page 2 of the electronic version of FSIS Form 4430-10).
  - b. Has the flexibility to develop program or position specific elements of their own and add to the generic performance elements. The total number of performance elements cannot exceed 7.
  - c. Designates critical elements by placing an “X” in the box next to the element. **Note:** The Mission Support, Civil Rights, Personal Contacts (non-supervisory civil rights), and Supervision elements are mandatory critical elements. Not all elements can be designated as critical.
  - d. Completes FSIS Form 4430-10a.
3. **Blocks 12 and 13** are completed to certify establishment and discussion of performance elements and standards. The Reviewing official signs **Block 14** to indicate review and approval when additional elements are added.

#### Distribution:

1. One copy to the employee along with copy of FSIS Form 4430-10a.
2. Remaining copies are retained by the rating supervisor.

### II. MIDWAY THROUGH THE APPRAISAL CYCLE

Rating supervisors must conduct at least one progress review approximately midway through the appraisal cycle. At the end of the progress review discussion, the employee and supervisor initial and date Block 15.

### III. END OF THE APPRAISAL CYCLE

#### **Preparation:**

1. Rating supervisor completes Block 16. Rate actual performance by entering “2” for a critical element or “1” for a non-critical element in either the EXCEEDS, MEETS, or DOES NOT MEET column for each performance element. Enter total for each column.
2. Rating supervisor compares total appraisal units with Decision Table in Block 17 to determine rating of record. Check appropriate box.
3. Rating supervisor records brief but specific documentation of each element rated EXCEEDS or DOES NOT MEET fully successful on the bottom of FSIS Form 4430-10a or on a separate sheet of paper.
4. Rating supervisor signs and dates Block 20 and forwards to reviewing official along with FSIS Form 4430-10a and any supporting documentation.
5. Reviewing Official reviews and approves ratings of record prepared by the rating supervisor.
6. Reviewing Official resolves differences of opinion concerning employee ratings and adjusts the ratings if necessary.
7. Reviewing official signs and dates Block 21 and returns all ratings materials to rating supervisor for discussion with the employee.
8. Employee completes Block 18 and signs Block 19. **Note:** Signature certifies discussion of (but not necessarily agreement with) performance rating and completion of Block 18. If employee does not sign, employee or rating supervisor should state reason.

#### **Distribution:**

1. Original to employee along with FSIS Form 4430-10a
2. One copy to rating supervisor along with FSIS Form 4430-10a
3. One copy along with FSIS Form 4430-10a to SHRO for processing and filing in employee’s EPF. Send completed forms, along with any supporting documentation, to the Minneapolis HR office for field employees, and to PERB for headquarters employees.

#### **FORMFLOW USERS:**

Follow instructions on the electronic version of FSIS Form 4430-10 and 4430-10a.

8/30/06

## PERFORMANCE ELEMENTS:

*The generic performance elements and their "meets" standards are listed below. Program or position specific performance elements and standards can be established, using the FSIS Form 4430-10a. The total number of performance elements cannot exceed 7 of which at least 2 must be critical. To the extent possible, supervisors should tailor selected elements and standards to show the link towards the FSIS strategic mission and goals.*

- (1) MISSION SUPPORT (Mandatory critical element for all employees):** Has demonstrated basic understanding of mission and organizational goals and priorities that supported or directly protected the public's health from foodborne hazards and intentional harm. Assignments were completed in accordance with applicable agency regulations, policies, procedures, and guidelines. Work product was responsive to the supervisor's and the organization's stated priorities and requirements. Adhered to safety and occupational health practices and procedures and maintained a safe and healthful work environment.
- (2) COMMUNICATIONS:** Oral and written communications were clear, correct, timely, and presented in an understandable manner. Employee listened effectively and clarified information as needed. Supervisor and coworkers were kept informed of issues and problems when necessary. Information and guidance provided was timely and correct.
- (3) SUPERVISION (Mandatory critical element for rating supervisors):** Supervisor contributed to the organization's staffing plan. (A staffing plan describes the number and types of employees and positions a supervisor has and/or must have to carry out the mission.) Work was assigned in a fair and effective manner among qualified employees. Technical guidance to subordinate staff was given in a timely manner. Performance management was implemented in accordance with procedures, especially in the preparation and explanation of performance standards, the communication of performance feedback, the coaching of improved performance, and the completion of accurate and timely performance appraisals. The supervisor completed any required supervisory training. Issues, concerns, or problems were handled promptly. To the extent possible, staff was properly trained and complied with occupational health and safety programs. Management decisions were supported and implemented within appropriate timeframes.
- (4) PROGRAM MANAGEMENT:** Managed program(s) and resolved issues and problems within the employee's control. Monitored all aspects of program(s) for quality, effectiveness, and consistency. Program plans and guidance were responsive to objectives and requirements of the Agency. Policy instructions were appropriately issued and were accurate. Evaluated effectiveness of work and adjusted plans accordingly.
- (5) SPECIAL PROJECTS:** Special projects were completed on time in a competent, accurate, and thorough manner. Completed projects complied with regulations and procedures. Special projects are completed independently, or reflected research and collaboration with others as required.
- (6) RESEARCH AND ANALYSIS:** Researched and analyzed issues, reports, problems, questions, or other assignments in a timely manner. Made use of available reference sources. Raised questions or issues with supervisor or senior staff so that any encountered problems could be addressed. Recommendations, decisions, and work products were appropriately science-based, logical, and defensible.
- (7) CUSTOMER SERVICE:** Worked with customers to develop a mutual understanding of their requirements. For discrete assignments, provided requested information, work products, or advice that was timely, responsive, and accurate. For recurring products and services, maintained existing standards of customer service for delivery of products and services. Achieved quality end products and demonstrated a commitment to continuous improvement of the organization's products and services. Kept supervisor and/or team leader informed of difficult an/or controversial issues and unique problems. Took action to effectively resolve problems before they had an adverse impact on the organization or other employees.
- (8) EQUAL OPPORTUNITY AND CIVIL RIGHTS (Mandatory critical element for supervisors):** Performed all duties in a manner which demonstrated fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrated a commitment to EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce.
- (9) PERSONAL CONTACTS - EO/CR (Mandatory critical element for nonsupervisory employees):** Projected a positive and professional image of USDA. Performed all duties in a manner which consistently demonstrated fairness, cooperation, and respect toward coworkers, customers, and all others in the performance of official business. Complied with EO/CR guidelines and policies.
- (10) RESOURCE MANAGEMENT:** Monitored allocated resources, including people, time, technology, facilities, contracts, and funds. Maintained complete and accurate records of expenditures and utilization of resources. Routinely utilized resources in an efficient and effective manner. Ensured that all resources were guarded against waste, loss, unauthorized use, and misappropriation. Introduced and managed technology solutions when cost effective to do so.
- (11) INDIVIDUAL CONTRIBUTIONS TO THE TEAM:** Displayed dependability and reliability. Promoted open communication. Contributed creative ideas and actively participated in team meetings resulting in added value to the team's products and services. When problems arose, explored causes and assisted in resolving them. Worked with team members to implement decisions. Demonstrated an open-mind to new ideas and approaches in implementing the team's goals. Willingly accepted and acted on constructive criticism.

**(12-14): To establish program specific elements, use FSIS Form 4430-10a.**

Apply the following generic performance standards with relevant “bulleted goals or objectives.” These can be derived from:

1. Organizational mission statements.
2. Program plans.
3. Project plans.
4. Strategic plans.
5. Product and service standards.
6. Related references including:
  - a. Specific tasks.
  - b. Projects.
  - c. Programs assigned and explained to the employee.

At the end of the rating cycle, assignment of Exceeds levels must be accompanied by specific examples that demonstrate how the employee achieved Exceeds. The documentation must clearly describe the impact the employee’s accomplishments had in achieving the Agency’s public health mission or organizational goals.

**ELEMENT (1) Mission Support (Mandatory critical for all employees)**

**Meets Standard:** Has demonstrated basic understanding of mission and organizational goals and priorities that support or directly protect the public’s health from foodborne hazards and intentional harm. Assignments were completed in accordance with applicable Agency regulations, policies, procedures, and guidelines. Work product was responsive to the supervisor’s and the organization’s stated priorities and requirements. Adhered to safety and occupational health practices and procedures, and maintained a safe and healthful work environment.

**Exceeds Standard:** The assigned specific mission support goals and objectives were significantly exceeded in terms of quality, timeliness, cost effectiveness, customer satisfaction, or other measurable result. Virtually all applicable quantitative or qualitative criteria were exceeded.

## **ELEMENT (2) Communications**

**Meets Standard:** Oral and written communications were clear, correct, timely, and presented in an understandable manner. Employee listened effectively and clarified information as needed. Supervisor and coworkers were kept informed of issues and problems when necessary. Information and guidance provided was timely and correct.

**Exceeds Standard:** Employee was skilled in communicating effectively with diverse audiences, including people with technical and non-technical backgrounds. Employee demonstrated a full range of communication skills, including such advanced techniques as preventing and resolving conflicts, influencing parties to take appropriate action, interpreting non-verbal communication, and successfully negotiating agreements and partnerships.

## **ELEMENT (3) Supervision (Mandatory critical element for rating supervisors)**

**Meets Standard:** Supervisor contributed to the organization's staffing plan. (A staffing plan describes the number and types of employees and positions a supervisor has in their office to carry out the mission.) Work was assigned in a fair and effective manner among qualified employees. Technical guidance to subordinate staff was given in a timely manner. Performance management was implemented by procedures, especially in the preparation and explanation of performance standards, the communication of performance feedback, the coaching of improved performance, and the completion of accurate and timely performance appraisals. The supervisor completed any required supervisory training. Issues, concerns, or problems were handled promptly. To the extent possible, staff was properly trained and complied with occupational health and safety programs. Management decisions were supported and implemented within appropriate timeframes.

**Exceeds Standard:** The supervisor's staffing plans or work schedules were especially effective in anticipating mission, organizational, technologic, and personnel changes. This allowed the organization or unit to maximize on-board strength and retain key talent. The supervisor's accomplishments in defining, developing, coaching, appraising, and rewarding performance of subordinates served as a model to other supervisors. Relative to the organization's assigned resources, the unit's overall performance was significantly enhanced by the supervisor's administrative, management, and motivational skills—the organization directed achieved superior results.

## **ELEMENT (4) Program Management**

**Meets Standard:** Managed program(s) and resolved issues and problems within the employee's control. Monitored all aspects of program(s) for quality, effectiveness, and consistency. Program plans and guidance were responsive to objectives and requirements of the Agency. Policy instructions were appropriately issued and were accurate. Evaluated effectiveness of work and adjusted plans accordingly.

**Exceeds Standard:** Demonstrated such thorough, logical, and effective project or program planning and management that employee's work methods, processes, and work products served as an example to others. Adapted conventional techniques to new and changing situations, using appropriate technology, policies, or science in achieving superior program or project results. Achieved successful program results by overcoming obstacles and facilitating and enabling the key contributions of customer, suppliers, or partners.

#### **ELEMENT (5) Special Projects**

**Meets Standard:** Special projects were completed on time in a competent, accurate, and thorough manner. Completed projects complied with regulations and procedures. Special projects were completed independently, or reflected research and collaboration with others as required.

**Exceeds Standard:** Employee anticipated and exceeded the needs of the project's internal or external customers in terms of project quality, timeliness, cost-effectiveness, or overall success. Employee regularly adjusted project priorities and schedules as appropriate, especially as resources changed or as the project was integrated with related programs and activities. Because of the employee's outstanding efforts, the project had greater than expected positive impact on the organization or its customers.

#### **ELEMENT (6) Research and Analysis**

**Meets Standard:** Researched and analyzed issues, reports, problems, questions, or other assignments in a timely manner. Made use of available reference sources. Raised questions or issues with supervisor or senior staff so that any encountered problems could be addressed. Recommendations, decisions, and work products were appropriately science-based, logical, and defensible.

**Exceeds Standard:** Demonstrated such thorough, logical, and professional research and analysis that employee's methods, processes, and work products serve as an example to others. Displayed persistence in tracking down hard-to-obtain information. Adapted conventional research and analysis techniques to new and changing situations, using appropriate technology, policies, or science in developing recommendations, conclusions, determinations, and final reports. Made effective recommendations for solving problems beyond immediate scope of responsibility.

#### **ELEMENT (7) Customer Service**

**Meets Standard:** Worked with customers to develop a mutual understanding of their requirements. For discrete assignments, provided requested information, work products, or advice that was timely, responsive, and accurate. For recurring products and services, maintained existing standards of customer service for delivery of products and services. Achieved quality end products and demonstrated a commitment to continuous improvement of the organization's products and services. Kept supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Took action to effectively resolve problems before they had an adverse impact on the organization or other employees.

**Exceeds Standard:** Demonstrated such thorough customer service that the employee's methods, processes, and work products serve as an example to others. Adapted conventional customer service techniques to new and changing situations, using appropriate technology, policies, or science in developing recommendations, conclusions, determinations, and final reports. Recommended improvements to the existing customer service delivery system. Anticipated and responded to changing customer requirements, avoiding any gaps in service.

**ELEMENT (8) EO/CR (Mandatory critical element for rating supervisors)**

**Meets Standard:** Performed all duties in a manner which demonstrated fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrated a commitment to EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce.

**Exceeds Standard:** Supervisor was particularly effective in creating an atmosphere within the unit that encouraged diversity, sharing of information, ideas, or talents; and appropriate use and resolution of conflict. Supervisor challenged Agency, Program Area, or organizational actions that were exclusionary, even at the risk of own self-interest. Overall, the supervisor's actions and organizational results for this element served as an example to others.

**ELEMENT (9) Personal Contacts-EO/CR (Mandatory critical element for nonsupervisory employees)**

**Meets Standard:** Projected a positive and professional image of USDA. Performed all duties in a manner which consistently demonstrated fairness, cooperation, and respect toward coworkers, customers, and all others in the performance of official business. Complied with EO/CR guidelines and policies.

**Exceeds Standard:** Demonstrated such a professional image and considerate demeanor towards others that the employee's manner of establishing, conducting, and maintaining personal contacts serves as an example to others. Adapted existing communication style and techniques to new and changing situations and to diverse individuals and groups. Seized opportunities to coach and developed less skilled coworkers in effective personal contacts, EO/CR.

**ELEMENT (10) Resource Management**

**Meets Standard:** Monitored allocated resources, including people, time, technology, facilities, contracts, and funds. Maintained complete and accurate records of expenditures and utilization of resources. Routinely used resources in an efficient and effective manner. Ensured that all resources were guarded against waste, loss, unauthorized use, and misappropriation. Introduced and managed technology solutions when cost effective to do so.



**Exceeds Standard:** Excelled in the integrated management of all resources – people, technology, facilities, supplies, financial assets, time, and customer or supplier partnerships, thereby enabling the organization to exceed performance expectations. The employee served as a model to others in obtaining additional resources, deploying new technology, or meeting the mission despite significant reductions in resources.

**ELEMENT (11) Individual Contributions to the Team**

**Meets Standard:** Displayed dependability and reliability. Promoted open communication. Contributed creative ideas and actively participated in team meetings, resulting in added value to the team's products and services. When problems arose, explored causes and assisted in resolving them. Worked with team members to implement decisions. Demonstrated an open mind to new ideas and approaches in implementing the team's goals. Willingly accepted and acted on constructive criticism.

**Exceeds Standard:** Demonstrated advanced skills and especially significant contributions to the team by leading team meetings or activities, identifying obstacles to team performance and taking actions to overcome them, positively influencing others or negotiating solutions to problems, and building effective working relationships among team members. The employee serves as an example to others in effective collaboration and teamwork.

**INSTRUCTIONS FOR FSIS FORM 4430-10a  
(Performance Elements, Standards and Goals/Results)**

**INSTRUCTIONS FOR FSIS FORM 4430-10a  
(Performance Elements, Standards and Goals/Results)**

**FORMFLOW USERS:**

The 11 generic performance elements and their standards have been preprinted on Pages 2-12. Select and complete only the elements that are applicable to the employee for the rating cycle.

To establish program specific performance elements 12-14 (if applicable), use the blank sheets provided on Pages 13-15.

NOTE: The total number of performance elements cannot exceed 7 for the rating cycle, and of the 7 at least 2 must be critical, if non-supervisory or at least 3 must be critical, if supervisory.

**SAMPLE COPY**

**The following performance elements are mandatory depending on the employee's position and responsibilities:**

**Mission Support** *(Mandatory critical element for all employees)*

**Supervision** *(Mandatory critical element for rating supervisors)*

**Equal Opportunity and Civil Rights** *(Mandatory critical element for supervisors)*

**Personal Contacts - EO/CR** *(Mandatory element for nonsupervisory employees)*

7/14/06

**SAMPLE INSTRUCTION FOR FSIS FORM 4430-1, PERFORMANCE APPRAISAL (MULTIPLE RATINGS)**

## **SAMPLE INSTRUCTIONS FOR FSIS FORM 4430-1, PERFORMANCE APPRAISAL (MULTIPLE RATINGS)**

A. Part Two, Paragraph XV., describes circumstances when an interim rating is required. Each interim supervisor will prepare an FSIS Form 4430-10 for the period covered and will forward the appraisal form to the employee's new supervisor. The rating supervisor is the supervisor of the last interim period of the rating cycle.

B. Use FSIS Form 4430-1 to combine interim ratings based on the proportion of time spent in each interim period.

### **Preparation:**

**Rating Supervisor** (Blocks 1 through 6 are self-explanatory):

- ① Record beginning and ending dates for each interim appraisal period of 90 days or more.
- ② Record time in months for each interim appraisal period. Use fractions for weeks (**example**, 5 months and 3 weeks is recorded as 5.75 months).
- ③ Convert the adjective rating of record in Block 17 on each FSIS Form 4430-10 to a numeric rating (**example**: Outstanding = 5, Superior = 4, Fully Successful = 3, Marginal = 2, and Unacceptable = 1). Record this numeric rating in Block 9.
- ④ Multiply the months (Block 8) times the numeric rating (Block 9) and record product in Block 10 for each interim rating period. Compute the total for Column 10 and Column 8. Divide total for Column 10 by the total for Column 8. Round to the nearest tenth. Round .5 up to next whole number. (**Exception**: Do not round up to 5.0, Outstanding.) Round .4 and below down to previous whole number and record this composite appraisal rating.
- ⑤ Convert composite appraisal rating to an adjective rating using codes described in instructions for Block 9. Check appropriate box in Block 11, which is the employee's annual rating of record.

### **Employee, Rating Supervisor, and Reviewing Official**

- ⑥ Sign and date this form along with FSIS Form 4430-10 and FSIS Forms 4430-10a for the final interim period.

### **Distribution:**

Original to SHRO.

One copy to the rating supervisor.

One copy to the employee.

**NOTE:** Distribute a copy of FSIS Form 4430-10 and FSIS Forms 4430-10a for each interim appraisal period with the FSIS Form 4430-1.

**SAMPLE OF FSIS FORM 4430-1, PERFORMANCE APPRAISAL  
(MULTIPLE RATINGS)**

U.S. DEPARTMENT OF AGRICULTURE FOOD SAFETY AND INSPECTION SERVICE  <b>PERFORMANCE APPRAISAL</b> <b>(Multiple ratings)</b>		<b>INSTRUCTIONS:</b> Before the rating supervisor completes this form, an FSIS Form 4430-10 <b>MUST</b> be completed and attached for each interim rating period. See FSIS Directive 4430.1 for additional instructions.	
1. NAME (Last, First, Middle)		2. OFFICIAL POSITION TITLE	
4. PMRS FUNDING UNIT NO.		5. ORGANIZATION	
		3. PAY PLAN/OCCUP. SERIES/ GRADE/STEP	
		6. DUTY STATION (City, State)	

INTERIM APPRAISALS				
CODES OUTSTANDING = 5    SUPERIOR = 4    FULLY SUCCESSFUL = 3    MARGINAL = 2    UNACCEPTABLE = 1				
7. INTERIM APPRAISAL PERIOD DATES (include month, day, year)		8. TIME (in months)	9. ENTER A NUMERICAL CODE FOR THE RATING TAKEN FROM BLOCK 17 ON FSIS FORM 4430-10.  SEE CODES ABOVE.	10. SCORE (Multiply column 8 x column 9.)
FROM	TO			
①		②	x    ③	=    ④
				=
		x		=
		x		=
TO COMPUTE COMPOSITE APPRAISAL RATING, DIVIDE TOTAL FOR COLUMN 10 BY THE TOTAL FOR COLUMN 8. (Round to the nearest tenth. Round .5 up to next whole number. Round .4 and below down to previous whole number.) <b>EXCEPTION: Do not round up to 5.0, outstanding.</b>			TOTAL FOR COLUMN 10 →  TOTAL FOR COLUMN 8 →  COMPOSITE APPRAISAL RATING →	

11. ANNUAL RATING OF RECORD (Check appropriate adjective rating. See codes above for converting composite appraisal rating to adjective rating.)

⑤

☐ OUTSTANDING   
 ☐ SUPERIOR   
 ☐ FULLY SUCCESSFUL   
 ☐ MARGINAL   
 ☐ UNACCEPTABLE

12. EMPLOYEE'S SIGNATURE		DATE
13. SUPERVISOR'S SIGNATURE		TITLE
14. REVIEWER'S SIGNATURE		DATE

FSIS FORM 4430-1 (05/02/2005)    REPLACES FSIS FORM 4430-1 (2/02/2005), WHICH IS OBSOLETE.   
 **SEND TO SHRO** (A copy of FSIS Form 4430-10 must be attached.)